



Long Island Rail Road



RULES OF THE OPERATING DEPARTMENT

SECOND EDITION

DAVID KUBICEK
Senior Vice President – Operations

ROBERT F. FREE
Chief Transportation Officer

SPIRO PAPANIKOLATOS
General Superintendent – Transportation

DUTIES AND RESPONSIBILITIES

TRAIN SERVICE EMPLOYEES

801. Conductors and train crew members report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department supervisors and Train Dispatchers. They must also obey the instructions of Stationmasters, Yardmasters and Block Operators within their respective jurisdictions, and from officers of other departments on matters pertaining to those departments. They must carry their current conductor certificate while on duty and display the certificate upon request to a representative of the FRA, state inspector, LIRR supervisor or an officer of another railroad when serving as a conductor in joint operations. An employee who does not have their certification card in their possession while on duty must notify the Movement Bureau immediately.

Conductors have general charge of the trains to which they are assigned and all persons employed aboard are subject to their instructions. They and the Engineer are responsible for the prompt movement, safety and care of their trains and for the observance and enforcement of all rules and instructions. Conductors are responsible for the vigilance, conduct and performance of duty of the members of their crew.

Conductors must exert every effort to start and move trains on time. They must notify the Movement Bureau of any conditions that will interfere with the prompt and safe movement of their train.

Conductors must, when necessary, instruct crew members about the proper performance of their duties and report all equipment defects to the Movement Bureau or M of E Central Control as specified in the timetable special instructions. They must report the absence of any crew members who fail to report for duty at the proper time to the Movement Bureau.

Freight conductors must not permit any person except employees in the discharge of their duties to board or ride on cars or trains without proper authority.

Conductors and train crew members are responsible for the display of train signals, the proper protection of trains, handling switches, coupling and uncoupling cars and engines and the manipulation of hand brakes.

Train crew members must assist the Conductor or Engineer in all things essential to the prompt and safe movement of their trains. They are responsible for reporting all defects to the Conductor.

801a. Platform Conductors will be governed by all applicable duties and responsibilities of Rule 801. They must obtain the proper equipment (when available) from Transportation Supervision or a designated representative, which includes a platform Conductor vest and hand held radio.

Platform Conductors will be positioned in areas at stations upon arrival of trains to assist customers boarding or exiting. They will remain visible to train crews and customers and seek out those in need of assistance. They will traverse platforms frequently to observe conditions for any operational or safety related issues. When necessary, they must utilize the hand held radio (if available) to talk to train crews, Transportation Supervision or the Movement Bureau.

ENGINE SERVICE EMPLOYEES

802. Engineers report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department Supervisors and Train Dispatchers. They must also obey instructions from Stationmasters, Yardmasters and Block Operators within their respective jurisdictions and from the Conductor in charge.

They must comply with instructions from officers of other departments on matters pertaining to those departments. Within engine house territory, they will comply with instructions of the Engine House Foreman or his representative. They must render assistance to Conductors who have general charge of the trains to which they are assigned, in all things essential to the prompt movement, safety and care of their respective trains. They must carry their current locomotive engineer certificate while on duty and display the certificate upon request to a representative of the FRA, state inspector, LIRR supervisor or an officer of another railroad when serving as a conductor in joint operations. An employee who does not have their certification card in their possession while on duty must notify the Movement Bureau immediately.

Engineers must limit their conversation with others to matters pertaining to the operation of their train. When leaving the engine at any time, they must ensure that the engine is properly secured. Engineers are responsible for the observance of and compliance with the indications of all signals affecting the movement of their train. When the train is moving they must be vigilant and use care to prevent avoidable injuries to persons, collisions, derailments and damage to property.

They must report all equipment defects to either the Movement Bureau or M of E Central Control as specified in the timetable

special instructions. At the completion of each trip, they must prepare and sign a work report on the prescribed form.

Engineers shall, when required, instruct and supervise Engineer Trainees in the operation of a train and shall permit Engineer Trainees to handle the engine. When instructing and supervising a trainee in train handling, the Engineer shall retain responsibility. The Engineer shall complete a written evaluation of each trainee assigned to handle an engine under the Engineer's supervision and instructions when required to do so.

When acting as a Pilot, they will operate the engine of the train to which assigned, unless otherwise provided.

ENGINEER TRAINEES

- 803.** Engineer trainees report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department supervisors, Train Dispatchers and instructors within the Training Department. They must also obey instructions from their Engineer and Conductor and others with proper authority and officers of other departments on matters pertaining to those departments. They must carry their current student engineer certificate while on duty. An employee who does not have their certification card in their possession while on duty must notify the Movement Bureau immediately.

When assigned, they are responsible for assisting the Engineer and Conductor in all things essential to the safe and prompt movement of their train.

They are responsible for reporting all engine or equipment defects to the Engineer.

They must take charge of the engine in the absence of the Engineer, must not leave it until he returns and must not permit unauthorized persons to board it. They must not move the engine unless emergency conditions exist and are instructed to do so by the Conductor or others with the proper authority.

If the Engineer becomes incapacitated, they must stop the train and report to the Conductor.

While the train is moving, they must keep a constant lookout when not engaged in other duties and immediately notify the Engineer of any signals or other conditions affecting the movement of the train.

TRACK CAR DRIVERS

- 804.** Track Car Drivers report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department Supervisors and Train Dispatchers. They must also obey the instructions of Block Operators and Yardmasters within their respective jurisdictions and from others with proper authority. They must comply with instructions from officers of other departments on matters pertaining to those departments. They are responsible for the prompt movement, safety and care of the track cars in their charge in accordance with the rules, special instructions and Form L's. They must be qualified on the Rules of the Operating Department, Timetable Special Instructions and Physical Characteristics of the portion of railroad over which they are to operate. The portions of the railroad on which they are qualified must be shown in the space provided for in their timetable. Employees accompanying a track car must obey the instructions of the driver in matters pertaining to its movement and protection.

PILOTS

- 805.** Pilots report to the General Superintendent- Transportation. They must obey the instructions of Transportation Department Supervisors and Train Dispatchers. They must also obey the instructions of Stationmasters, Yardmasters and Block Operators within their respective jurisdictions, and from officers of other departments on matters pertaining to those departments. A Pilot's responsibility is to ensure compliance with all operating rules and special instructions that are in effect. When acting in this role, a Pilot should be positioned in such a place to take appropriate action when necessary. Appropriate actions are dependent on the situation and may include stopping the movement by any means necessary to prevent accident or injury. Appropriate actions must be taken to prevent;
- Violation of speed restrictions
 - Signal violations
 - Prevent exiting established working limits
 - Stop any unauthorized movement
 - Any unsafe condition
- Before acting as a Pilot a job briefing must be held with all involved to discuss applicable rules/instructions relative to the move being made. These rules/instructions include restrictions placed on the portion of track or the type of equipment being moved. The employee

acting as a Pilot must be diligent and act as if they are controlling the movement. Any Form L's received must be reviewed by all involved, including the employee not qualified on the portion of track over which the move is to be made.

YARDMASTERS

- 806.** Yardmasters report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department Supervisors. Within assigned districts and as directed, they have charge of yards and employees, movement of trains and engines and distribution and movement of cars. Yardmasters must report the absence of any employees immediately to the Movement Bureau or area Transportation Manager. Their jurisdiction does not include main, secondary or siding tracks, unless otherwise specified.

UTILITY ASSISTANT CONDUCTORS

- 807.** Utility Assistant Conductors report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department Supervisors and Yardmasters. They must also obey instructions from Conductors and others with proper authority and from officers of other departments on matters pertaining to those departments. They are responsible for the display of train signals, proper protection of trains, handling switches, coupling and uncoupling cars and engines, manipulation of handbrakes and for Assisting Conductors and Engineers in all things essential to the prompt and safe movement of trains. They must report all equipment defects to the Yardmaster or, in his absence, the Conductor. Where switch-houses are provided, they will not allow unauthorized persons to be in them. They will keep the premises neat and clean.

STATIONMASTERS

- 808.** Stationmasters report to the General Superintendent - Transportation. They must obey the instructions of Transportation Department Supervisors. They are in charge of the passenger station to which they are assigned and of the employees who work at the station, unless otherwise provided. They are responsible for maintaining order in and about the station, caring for passengers, expediting company material and

company mail and dispatching trains in accordance with the schedule. They must publish and announce information for passengers regarding the arrival and departure of trains and the tracks on which they are located. When practicable, they must observe employees to determine that they are in the proper uniform, are fit for duty and have the proper signal equipment with them.

A failure by an employee to report for an assignment at the proper place and time must be reported to the Movement Bureau.

Assistant Stationmasters assigned to passenger stations are governed by these instructions.

TRAIN DISPATCHERS

- 809.** Train Dispatchers report to the General Superintendent – Transportation. They must obey the instructions of his designated representatives i.e., Supervisors of Train Movement and Chief Train Dispatcher. They must be fully qualified on the Rules of the Operating Department and the Physical Characteristics.

They are responsible for issuing Form L's in the name of the General Superintendent – Transportation. They must transmit and record the Form L's as prescribed by the rules. Their transmissions must be as slow and distinct as necessary so that Block Operators can transcribe and record the Form L's correctly and legibly. They are responsible for issuing other instructions and forms required for the safe, efficient movement of trains and for maintaining the prescribed record of train movements and unusual incidents.

When Train Dispatchers are relieved, they must furnish their relief with a written transfer of all Form L's in effect and other information concerning existing conditions about which the relieving Train Dispatcher should know. The Train Dispatcher going off duty must be sure that all forms and information are understood before allowing relief.

The relieving Train Dispatcher must sign the transfer, acknowledging that its contents have been read and understood.

BLOCK OPERATORS

- 810.** Block Operators report to the General Superintendent – Transportation. They must obey the instructions of his designated representatives i.e., Supervisors of Train Movement, Chief Train Dispatchers, Train Dispatchers and Train Directors.

They are responsible for the care of block stations, signals and supplies, delivery of Form L's and messages to those addressed and arranging for the use of blocks, tracks, switches and signals.

They must move trains promptly in accordance with the rules, Form L's and special instructions.

They must maintain the prescribed record of train movements and, when possible, must observe passing trains for defects and proper display of markers. Any irregularities must be promptly reported to the Train Dispatcher.

When Block Operators are relieved, they must furnish their relief with a written transfer of all Form L's in effect and other information concerning existing conditions about which the relieving Block Operator should know. The Block Operator going off duty must be sure that all forms and information are understood before allowing relief. The relieving Block Operator must sign the transfer acknowledging that its contents have been read and understood.

They must not absent themselves from duty until relieved, unless authorized to do so by proper authority. They must notify the Train Dispatcher promptly if their relief fails to report at the proper time. They must not permit unauthorized persons to enter or loiter in the block or interlocking station.

They must report the weather as required and in case of sudden change, storm or fog, promptly advise the Train Dispatcher.

They will hand operate switches, movable bridges and other designated devices as required.

In electrified territory, they will operate power control boards and other devices as instructed by the power director.

Train Directors, Assistant Train Directors and Assistants to the Train Director will be governed by these instructions in the performance of their duties.

TERMINOLOGY, DEFINITIONS and AUTHORIZED ABBREVIATIONS

The abbreviations in parentheses are authorized for use in General Orders, General Notices, Speed Restriction Notices and Form L's, and other forms used in train movement and during radio and telephone communications.

The signature initials of the General Superintendent- Transportation.

A. ABBREVIATIONS

AUTOMATIC SPEED CONTROL SYSTEM (ASC)

AVENUE (AVE)

BLOCK OPERATOR OR TRAIN DIRECTOR (OPR)

BOULEVARD (BLVD)

CONDUCTOR (CONDR)

CONDUCTOR AND ENGINEER (C & E)

DETECTOR CAR (DC)

DISPATCHER (DISPR)

DISTANT SWITCH INDICATOR (DSI)

ENGINE (ENG)

ENGINES (ENGS)

ENGINEER (ENGR)

GENERAL NOTICE (GN)

HIGHWAY (HWY)

INTERLOCKING (INT)

JAMAICA CENTRAL CONTROL (JCC)

LONG ISLAND RAIL ROAD (LIRR)

MAINTENANCE OF EQUIPMENT (M OF E)

MAINTENANCE OF WAY (M OF W)

MAXIMUM AUTHORIZED SPEED (MAS)

MILES PER HOUR (MPH)

MILE POST (MP)

MOVEMENT BUREAU (MVB)

NUMBER (NO)

NEW YORK AND ATLANTIC RAILWAY (NYAR)

OVERGRADE BRIDGE (OGB)

PARKWAY (PKWY)

PASSENGER (PSGR)

ROAD (RD)

ROADWAY WORKER IN CHARGE (RWIC)

SPEED RESTRICTON NOTICE (SRN)

SIGNAL BRIDGE (SB)

STREET (ST)

TRACK CAR (TC)

TRAIN HANDLING AND EQUIPMENT MANUAL (THEM)

TRANSPORTATION SUPERVISOR (TSP)

UNDERGRADE BRIDGE (UGB)

B. MONTHS OF THE YEAR

The usual abbreviations used for the names of the months. (Numerals are not to be used as abbreviations)

Jan, Feb, Mar, Apr, May, Jun, Jul, Aug, Sep, Oct, Nov, Dec

DEFINITIONS

BLOCK

BLOCK: A length of track of defined limits, the use of which is governed by block signals, block-limit signals, automatic speed control or any combination thereof.

ABSOLUTE BLOCK: A block established between block stations, block limit stations, interlockings or any combination thereof which must not be occupied by more than one train except as provided by the rules.

BLOCK SIGNAL SYSTEMS

AUTOMATIC BLOCK SIGNAL SYSTEM: A block signal system wherein the use of each block is governed by an automatic block signal, the cab signal indicator or both.

BLOCK SIGNAL SYSTEM: A series of consecutive blocks.

MANUAL BLOCK SIGNAL SYSTEM: A block signal system wherein the use of each block is governed by block signals controlled manually, by block-limit signals or both, upon information received by telephone, radio or other means of communication.

AUTOMATIC SPEED CONTROL

AUTOMATIC SPEED CONTROL SYSTEM (ASC): A system so arranged that its operation will automatically result in the following: A full service application of the train brakes if, while operating under a speed restriction, the speed of the train exceeds the predetermined rate. The application will continue until the train is either brought to a stop or, under the control of the engineer, its speed is reduced to the predetermined rate.

SPEED CONTROLLED TRAIN: A train equipped with the following speed control apparatus, a cab signal indicator, sealed application valve or switch, audible warning device and acknowledging switch, in operative condition for the direction in which it is to move.

ENGINES / EQUIPMENT

ENGINE (ENG): A unit propelled by any form of energy or a combination of units operated from a single control, used in road or yard service.

MULTIPLE UNIT EQUIPMENT: Equipment capable of being propelled by electrical energy through the use of third rail contact shoes.

TRACK CAR: A roadway maintenance machine, not classified as an engine, which is operated on track for inspection or maintenance. It may not shunt track circuits or operate signals and will be governed by rules and special instructions for trains other than passenger trains.

INTERLOCKING

INTERLOCKING: An arrangement of signals and signal appliances so interconnected that their movements must succeed each other in proper sequence and for which interlocking rules are in effect.

INTERLOCKING LIMITS: The tracks between the extreme opposing home signals of an interlocking.

PILOT

PILOT: An employee assigned to a train or track car when the engineer, conductor or track car driver is not qualified on the physical characteristics or rules of the railroad or portion of the railroad over which the movement is to be made.

SIGNALS

ASPECT: The appearance of a fixed signal which conveys an indication as viewed from the direction of an approaching train; the appearance of a cab signal indicator as viewed in the engine control compartment.

BLOCK-LIMIT SIGNAL: A fixed signal indicating the limit of the block, the use of which is governed by manual block signal system rules.

BLOCK SIGNAL: A fixed signal or a hand signal in the absence of a fixed signal, at the entrance to a block that governs trains using that block.

CAB SIGNAL INDICATOR: A signal indicator located in the engine control compartment displaying the maximum speed for the movement of the train. It will be used in conjunction with interlocking signals and either in conjunction with or in lieu of block signals.

DISTANT SIGNAL: A fixed signal used to govern the approach to a home signal.

FIXED SIGNAL: A signal of a fixed location indicating a condition which affects the movement of a train.

HOME SIGNAL: A fixed signal that displays Stop as its most restrictive aspect and governs the entrance to a route or block.

INDICATION: The information conveyed by the aspect of a signal.

INTERLOCKING SIGNALS: The fixed signals of an interlocking.

MARKER

MARKER: A highly visible marking device in the red-orange-amber color range, affixed to the rear of the train to indicate that the train is complete.

ROADWAY WORKER PROTECTION

EFFECTIVE LOCKING DEVICE: A switch padlock used in relation to a manually operated switch or a derail that is vandal resistant; tamper resistant; and capable of being locked and unlocked only by the class, craft or group of employees for whom the protection is being provided.

EFFECTIVE SECURING DEVICE: A vandal and tamper resistant device applied to a manually operated switch or derail for the protection of roadway workers. This device must be secured, uniquely tagged and removed only by the class, craft or group of employees for whom the protection is being provided.

FLAGMAN: When used in relation with roadway worker safety, an employee assigned to direct or restrict the movement of trains past a point on a track to provide on-track safety for roadway workers, while engaged solely in performing that function.

FOUL TIME: A method of establishing working limits on a main track, secondary track or siding in which a roadway worker is notified by the Train Dispatcher through the Block Operator that no trains will operate within the working limits established on that track until the roadway worker reports clear of the track.

INACCESSIBLE TRACK: A method of establishing working limits on tracks not controlled by the Train Dispatcher or Block Operator by physically preventing the entry and movement of trains.

JOB BRIEFING: When reporting for duty, employees whose duties require coordination with other employees must hold a job briefing to review operational and safety conditions. If these conditions change, employees must hold an additional job briefing to discuss the new conditions.

ROADWAY WORKER: An employee of a railroad, or of a contractor to a railroad, whose duties include inspection, construction, maintenance or repair of railroad track, bridges, roadway, signal and communication systems, electric traction systems, roadway facilities or roadway maintenance machinery on or near track or with the potential of fouling a track and flagmen and watchmen/lookouts responsible for their protection.

WATCHMAN/LOOKOUT: A properly equipped employee that has been annually trained on roadway worker protection whose sole duty is to provide at least 15 seconds advanced visual and auditory warning of approaching trains or on-track equipment to roadway workers.

WORKING LIMITS: A segment of track with definite boundaries upon which trains may move only as authorized by the roadway worker in charge of that segment of track.

SPEEDS

LIMITED SPEED: A speed not exceeding 40 mph.

MAXIMUM AUTHORIZED SPEED (MAS): The highest speed that is permitted over a specific portion of the railroad. It may be authorized by the special instructions of the current timetable, Rules of the Operating Department or any other publication authorized by the General Superintendent- Transportation

MEDIUM SPEED: A speed not exceeding 30 mph, except in ASC territory, train will be governed by speed displayed on the cab signal indicator not to exceed 40 mph.

REDUCED SPEED: A speed at which a train can be stopped short of another train or obstruction.

RESTRICTED SPEED: A mode of operation, at which a train can be stopped within one half the range of vision, short of the next signal, another train, obstruction, derail, or switch improperly lined, looking out for broken rail or crossing protection not functioning, not exceeding 15 miles per hour.

SLOW SPEED: A speed not exceeding 15 mph, except in ASC territory, train will be governed by speed displayed on the cab signal indicator not to exceed 30 mph.

SWITCHES

AUTOMATIC SAFETY SWITCH: A switch identified by a yellow switch stand. Trains may make trailing point moves through the switch without previously aligning it by hand except as specified by timetable special instruction.

CROSSOVER: A track connection between two adjacent, not necessarily parallel tracks, consisting of a minimum of two switches, which is intended to be used primarily for the purpose of crossing over from one track to another.

DERAIL: A track safety device, fixed or portable, designed to guide a car off the rails at a selected location on a track as a means of protection against collisions or other accidents.

DUAL CONTROL SWITCH: A power-operated switch also equipped for hand operation.

ELECTRIC LOCK SWITCH: A hand-operated switch equipped with an electrical device that restricts the movement of the switch.

HAND-OPERATED SWITCH: A switch that must be aligned by hand before a train makes a trailing point movement through the switch.

INTERLOCKING SWITCH: A switch within interlocking limits controlled by the Block Operator or Train Dispatcher working in conjunction with interlocking signals and other interlocking appliances.

SPRING SWITCH: A switch equipped with a spring mechanism that will restore the switch points to the normal position after having been trailed through.

STATIONS

BLOCK-LIMIT STATION: A place at which a block-limit signal is displayed.

BLOCK STATION: A place at which manual block signals are displayed.

INTERLOCKING STATION: A place from which an interlocking is operated.

PASSENGER STATION: A place at which trains are scheduled to receive and/or discharge passengers.

STATION: A place designated by name on the station pages of the current timetable.

TIMETABLE

GENERAL NOTICE (GN): A notice issued to employees by the General Superintendent – Transportation. It may contain operating instructions or other information as may be necessary.

GENERAL ORDER: An order issued to employees by the General Superintendent – Transportation. It may change or annul operating rules, timetable information or special instructions.

SPEED RESTRICTION NOTICE: A notice issued to employees by the General Superintendent Transportation. It will contain necessary speed restrictions and will be issued at a minimum of once per week.

SCHEDULE: That part of a timetable that prescribes direction, number and movement of a regular train.

TIMETABLE: The authority for the movement of regular trains subject to the rules. It contains classified schedules and special instructions relating to the movement of trains.

TRACKS

CONTROLLED SIDING: A designated track, the entrance and exit of which are governed by home signals.

CURRENT OF TRAFFIC: The movement of trains on a main track in one direction, as specified by special instruction.

INDUSTRY TRACK: A track, or series of tracks, serving the needs of a commercial industry other than a railroad.

MAIN TRACK: A designated track upon which trains are operated by timetable, Form L or both or the use of which is governed by block signals.

SECONDARY TRACK: A designated track upon which trains may be operated without timetable or Form L authority, or block signals subject to the prescribed signals, rules and special instructions.

SIDING: A designated track adjacent to a main track for the meeting or passing of trains.

SINGLE TRACK: A main track upon which trains are operated in both directions.

TWO OR MORE TRACKS: Two or more main tracks upon which trains are operated as designated in the special instructions.

YARD: A system of tracks, other than main tracks, secondary tracks or sidings, used for making up trains, storing cars and other purposes. All movements are subject to prescribed signals, rules and special instructions.

YARD LIMITS: A portion of single main track between yard limit boards, as specified by special instruction.

TRAINS

CAMP CAR: Any on-track vehicle, except a wreck train, that is used to house railroad or contract employees.

EXTRA TRAIN: A train not authorized by a timetable schedule. It must be designated as:

Passenger Extra – for passenger train extra

Work Extra – for work train extra

Track Car Extra – for track car extra

Extra – For any other extra train except passenger extra, work extra or track car extra.

PASSENGER TRAIN: A train carrying revenue passengers.

PUSH-PULL TRAIN: A train consisting of a bi-level cab control car at one end and a diesel or dual mode locomotive at the opposite end.

REGULAR TRAIN: A train authorized by a timetable schedule.

SUPERIOR TRAIN: A train having precedence over another train.

TRAIN: An engine or more than one engine coupled, with or without cars, displaying markers.

TRAIN OF SUPERIOR DIRECTION: A train given precedence in the direction specified as between opposing regular trains.

TRAIN OF SUPERIOR RIGHT: A train given precedence by Form L.

ROADWAY WORKER: An employee of a railroad, or of a contractor to a railroad, whose duties include inspection, construction, maintenance or repair of railroad track, bridges, roadway, signal and communication systems, electric traction systems, roadway facilities or roadway maintenance machinery on or near track or with the potential of fouling a track and flagmen and watchmen/lookouts responsible for their protection.

WATCHMAN/LOOKOUT: A properly equipped employee that has been annually trained on roadway worker protection whose sole duty is to provide at least 15 seconds advanced visual and auditory warning of approaching trains or on-track equipment to roadway workers.

WORKING LIMITS: A segment of track with definite boundaries upon which trains may move only as authorized by the roadway worker in charge of that segment of track.

SPEEDS

LIMITED SPEED: A speed not exceeding 40 mph.

MAXIMUM AUTHORIZED SPEED (MAS): The highest speed that is permitted over a specific portion of the railroad. It may be authorized by the special instructions of the current timetable, Rules of the Operating Department or any other publication authorized by the General Superintendent- Transportation

MEDIUM SPEED: A speed not exceeding 30 mph, except in ASC territory, train will be governed by speed displayed on the cab signal indicator not to exceed 40 mph.

REDUCED SPEED: A speed at which a train can be stopped short of another train or obstruction.

RESTRICTED SPEED: A mode of operation, at which a train can be stopped within one half the range of vision, short of the next signal, another train, obstruction, derail, or switch improperly lined, looking out for broken rail or crossing protection not functioning, not exceeding 15 miles per hour.

SLOW SPEED: A speed not exceeding 15 mph, except in ASC territory, train will be governed by speed displayed on the cab signal indicator not to exceed 30 mph.

engineer *must not* rely on physical characteristics or other features in the vicinity for the final placement of a train; the qualified employee controlling the move *must not* rely on the Engineer to initiate a stop for final placement of a train.

When the Engineer is operating from other than the leading end, and the movement is being made against a fixed obstruction, including, but not limited to a bumping block, standing equipment or derail, the qualified employee controlling the movement must signal the engineer to make a SAFETY STOP two car lengths from the fixed obstruction before final placement of the equipment. When movement is resumed after making a SAFETY STOP, the speed of the train must not exceed two (2) miles per hour.

In all cases when the Engineer is operating from other than the leading end, the qualified employee controlling the movement must be prepared to stop the movement by operating the communicating signal and/or emergency brake valve should conditions require. When making a move against a fixed object the qualified employee controlling the movement must have their hand on the emergency brake valve.

- 151. Where two or more tracks are in service they shall be designated by number and their use indicated in the special instructions of the timetable.
Unless otherwise provided, Trains operated against the current of traffic must,
 - (1) Be authorized by Form L, and
 - (2) Comply with timetable speed restrictions and special instructions

- 152. When a train crosses over to or obstructs another track, unless otherwise provided, it must first be protected as prescribed by Rule 99.

- 153. All movements on tracks used for passenger trains, not protected by a block signal system or by an interlocking, must be made at RESTRICTED SPEED.
Movements on tracks other than main tracks, unless otherwise specified, must be made at RESTRICTED SPEED.

- 154. Excessive use of sand at any point is prohibited and its use is restricted to actual necessity. Sand must not be used while passing over any switch, nor over the moveable parts of interlockings.

NOTICE TO EMPLOYEES

Safety is of the first importance in the discharge of duty. In cases of doubt or uncertainty, the safe course must be taken.

Obedience to the rules is essential to safety.

The welfare of the Company depends upon its employees performing their assigned tasks safely and efficiently. The company requires the faithful, intelligent and courteous discharge of duty by all employees.

Suggestions from employees intended to promote safety, economy or to improve service are solicited and will receive consideration.

GENERAL RULES

- A.** Employees whose duties are affected by these rules must provide themselves with a copy and must have this copy with them while on duty.
Employees whose duties are in any way affected by the timetable must have a copy of the current timetable with them while on duty. All effective general orders, general notices, speed restriction notices and appendices must be properly inserted therein. Special instructions, effective general orders and general notices in the timetable supersede any rules with which they conflict.
- B.** Employees must be conversant with and obey the rules and special instructions. If in doubt as to their meaning, they must apply to the proper authority for an explanation.
- C.** Employees whose duties require them to be qualified on the operating rules and special instructions must pass mandatory examinations within the time specified by the General Superintendent -Transportation. When necessary, employees will be re-examined as directed by the General Superintendent-Transportation.
When reporting for examination, employees must present their copy of the current timetable and/or Rules of the Operating Department for inspection.
- D.** Employees, while on duty, must devote themselves exclusively to the Company's service. They must render every assistance in their power in carrying out the rules and special instructions and must report any violation thereof to the proper authority.
Employees must not absent themselves from duty, exchange duties or substitute others in their place without permission from the proper authority. They must not engage in other business activities when such activities will cause a lack of ample rest, affect availability for service or performance of duty or be inconsistent with loyalty to the Company.
- E.** Employees, on or off duty, must conduct themselves in such a manner that the Company will not be subject to criticism or loss of good will.
Solicitation or acceptance of gratuities from patrons or other employees is prohibited.
Employees who are insubordinate while on duty or on Company property will be subject to dismissal.

The following are prohibited while on duty or on Company property:

Gambling.
Fighting.
Uncivil behavior.
Illegal, immoral, dishonest or unauthorized activities.
Possession of firearms.

The following are prohibited while performing service:

Playing cards or other games.
Reading material other than Company publications.
Sleeping or assuming the position of sleep.
The use of electronic devices not related to their duties, unless authorized by the Company is prohibited.

- F.** Accidents, defects in tracks, bridges, culverts, highway crossing protective devices, third rail or any other unusual condition, which may affect the safe movement of trains, must be promptly protected by a flagman. A report must be made at once to the Movement Bureau by the most expedient means of communication.
- G.**
1. All employees are prohibited from using alcoholic beverages, intoxicants or controlled substances, or from being under the influence or impaired by the same, while subject to duty or while on duty.
 2. All employees are prohibited from possessing alcohol while on duty.
 3. All employees are prohibited from illegally manufacturing, distributing, selling, dispensing, possessing or using any illegally obtained controlled substance on or off duty, on or off LIRR property. All employees are also prohibited from possessing drug paraphernalia in the workplace. All employees are prohibited from using or possessing any controlled substance while on duty or subject to duty unless medically authorized by the LIRR Physician-In-Charge.
 4. All employees, whether on or off duty, are prohibited from consuming alcohol on LIRR property.
 5. All employees, whether on or off duty, are prohibited from possessing an open container of an alcoholic beverage on LIRR property.
 6. All employees are prohibited from consuming alcohol during working hours, including meal and break periods.

7. No alcoholic beverages are permitted at LIRR-sponsored functions.

8. All employees, whether on or off duty, are prohibited from possessing or consuming alcohol while wearing an LIRR uniform.

9. Employees, whether on or off duty, are prohibited from possessing or being under the influence of or impaired by alcohol on non- public LIRR property (i.e. shops, tracks, towers, offices, etc.).

10. Employees must not violate customers' rules of conduct. When there is reasonable cause or when employees are suspected of having used or being under the influence of or impaired by alcohol, intoxicants or a controlled substance while on duty, such employees may be required to take a breath, blood and/or a urinalysis test in accordance with FRA regulations. Employees who are requested to take a breath, blood and/or urinalysis test and refuse will be subject to dismissal. The detection of a prohibited substance, resulting from any required toxicological test will constitute a violation of this rule.

H. The use of tobacco by all employees on or off duty is prohibited in all passenger carrying railroad equipment, including vestibules. This includes use on equipment closed to the public and on equipment in the consist of non-revenue trains.

In accordance with New York State Law the use of tobacco is prohibited by all employees in the customer use area of all passenger facilities, including but not limited to: waiting rooms, lost and found rooms, platforms and concourses. In addition, smoking is banned in engine compartments, alcohol cars and other posted areas. It is also prohibited in all crew and welfare facilities.

I. When items for personal safety are issued, they must be worn as prescribed.

J. Uniformed employees, on or off duty, while on Company property must be neat in appearance. Attention to good grooming is mandatory.

Uniformed employees, while performing service, must wear the prescribed uniform including hat and badge as provided in the current issue of regulations governing the uniforming of employees.

Uniforms must be kept clean, pressed and well fitting with issued insignia affixed in the designated places. The wearing or display of ornaments, buttons, emblems or other insignia not connected with railroad service is prohibited.

- K.** Employees who are authorized to transact business on or about trains and at stations must be courteous, orderly and quiet.
- L.** Employees must take necessary action when Company property or other employees are endangered from any cause. Employees are responsible for the protection of Company property in their charge.
- M.** Employees must provide themselves with a copy of the Safety Rules prescribed for their department, comply with them and carry a copy with them while on duty.
Employees must exercise care and good judgment to avoid injury to themselves or others.
They must inform themselves as to locations where close clearances exist.
They must expect the movement of trains or cars at any time, on any track, in either direction.
- O.** No person other than a qualified engineer or engineer trainee under the personal supervision of an engineer or other qualified employee may be permitted to operate a train.
Non employees or unauthorized employees are not permitted upon engines, operating cabs of multiple unit cars or on rear platforms without written authority. The only persons allowed to ride on engines, in operating cabs of multiple unit cars or on rear platforms without written authority are Transportation Department supervisors, trainees under the supervision of the Training Department instructors and crew members in the discharge of their duty.
Engine permits may be issued by the Superintendent-Engine Service to employees as deemed necessary.
No one whose duties do not require are permitted to ride in the operating compartment with the engineer. The engineer must not allow anyone to divert his attention from the proper performance of his duty.
- P.** Employees, when directed, will report to the Law Department or any other place that may be designated for the purpose of giving testimony in connection with any legal proceeding, claim or accident in which the Company is or may be involved.
An employee who is served with a subpoena, summons or other legal process in which the Company is or may be interested, must at once notify their department head and be governed by the instructions received.
Employees must not give any statements or information, either written or verbal, about accidents or other related matters to

anyone, except police officers in the performance of their duty or representatives of this Company.

Unless authorized by the proper authority, employees entrusted with any Company publication, report or document must not loan, give away, nor divulge the contents thereof to anyone except authorized Company employees.

- Q.** Courtesy is required of all employees in their dealings with the public and each other. Employees must avoid unnecessary conversation with the public to the extent possible. Employees will, upon request of a passenger, provide their identification number, train number and other necessary information.
When train service is disrupted, the public must be informed of the probable length of the interruption and, when ascertained, the time at which service will be restored. Announcements to this effect will be made in passenger stations, on platforms and to passengers when they purchase tickets.
The conductor, engineer or other crew members of a delayed train must inform passengers of the cause and duration of the delay, as outlined in Appendix C.
- R.** Employees subject to the Federal Hours of Service Act must familiarize themselves with its provisions.
A copy of the Hours of Service for Railroad Employees is posted on the bulletin board in each terminal.
- S.** First aid and medical care as required must be provided for all persons injured on railroad property. Emergency calls for such assistance will have preference over all communications except Form L transmissions or emergency calls concerning power. Injuries to passengers and other non-employees occurring on trains in connection with railroad operations, which require medical attention, must be reported immediately to the Movement Bureau (204) by radio or telephone.
A Non-Employee Accident Report Form (AR-NE) must be completed for all accidents. Under normal circumstances, the employees who first come in contact with the injured party will be responsible for the completion of the form. Employees are responsible to complete the form and provide as much information as possible.
When possible, the AR-NE Form should be completed at the time of the incident. If circumstances prohibit this, the customer section may be separated at the perforation and provided to the customer with instructions for them to complete their section and mail to the address included on the form. The employee section must still be completed and submitted through company mail.

Completed forms are to be sent via Company Mail to:

**System Safety Department
Jamaica Central Control Building
Mail Code 1944**

- T. Employees must report for duty at the required time. Employees who change their telephone number or place of residence are required to give immediate verbal and written notice to the proper authority.
- V. Employees entrusted with switch or Signal Department keys must make every effort to safeguard them and prevent unauthorized use. Switch keys will be furnished only to such employees as directed by the General Superintendent – Transportation.

W. Good Faith Challenge

An employee qualified on, and or governed by LIRR rules and/or CFR regulation 218 has the right to challenge in good faith any directive that would violate a LIRR rule or special instruction in the following areas:

1. Handling of equipment (pertaining to use of switches, derails, shoving or pushing moves and leaving equipment in the clear)
2. Handling of Switches (hand operated or in hand operation)
3. Handling of Derails
4. Shoving or Pushing equipment
5. Leaving equipment in the clear

Once a Good Faith Challenge is made the employee has a right to refuse to act on the directive until the challenge is resolved. The rest of the crew can continue to work. The employee challenging can be given a different task.

Good Faith Challenge Procedure:

An employee invoking a challenge must proceed in the following manner:

1. Inform the Supervisor or appropriate person who has issued the directive that complying with it would violate one or more rules and or special instructions. Whenever possible identify the rule or Special Instruction.
2. Inform the Supervisor of all pertinent conditions involved to ensure that he is aware of the basis of the challenge.

Any time a signal does not conform and is imperfectly displayed, including absent from a place where it is usually shown, the condition must be reported to the Train Dispatcher or Block Operator as soon as practical, without causing delay to the train.

NOTE: If too many lights are illuminated on a fixed signal it must be regarded as displaying the most restrictive aspect that can be displayed by that signal.

28a. A train must stop clear of a fixed signal-indicating stop. When a train is stopped by a home or interlocking signal, the conductor or engineer must immediately ascertain the cause. Except as provided by special instruction, a train must not pass a fixed signal indicating Stop (Rule 292) unless authorized by Rule 241, Clearance Card Form A or Form L authority.

28b. The following requirements apply to trains when automatic speed control rules are not in effect:

If a train has passed a distant signal and stops for any reason, including a stop at a passenger station or reduces its speed to less than 10 MPH it must:

1. Approach the next home signal prepared to stop,
And
2. Not exceed a speed of 30 MPH unless the speed of the train is further restricted.

The train must maintain the prescribed speed reduction until the Engineer has observed the home signal displaying an aspect more favorable than stop-and-proceed. Thereafter, the movement of the train will continue to be governed by the indication of the aspect displayed on the distant signal.

30. If a train is equipped with an engine bell, it must be sounded:

1. When the engine is about to move, except during a continuous switching movement.
2. When approaching and passing public crossings at grade.
3. When approaching locations where roadway workers are at work on or near track, bridges or other structures.
4. When passing trains on an adjacent track.
5. When necessary to prevent accidents.

The unnecessary use of the engine bell is prohibited.

31. The engine whistle or horn must be sounded at all places required by rule, special instruction, or law. It must be sounded at all whistle posts, standard or portable, unless otherwise provided, and when necessary to prevent accidents.

32. Utility Assistant Conductors, when assigned to handle yard switches, will use a yellow flag by day and yellow light by night to give signals.

33a. All employees riding on the leading engine who are qualified on the signals of the operating rules must be on the lookout for signals affecting the movement of their train. They must communicate to each other in a clear manner the name of each signal aspect in advance as soon as it becomes clearly visible. After the name of the signal aspect has been communicated, employees must continue to observe the signal until passed and communicate any change of aspect.

If the employee controlling the movement fails to control the movement of the train in accordance with the indication of the aspect displayed on the signal or other restrictions requiring the speed of the train to be reduced, other employees riding on the leading engine must remind the Engineer of the restriction and, if necessary, take appropriate action, including stopping the movement, to ensure safety.

33b. The following requirements apply to trains when automatic speed control rules are not in effect:

When the Engineer of a train observes a distant signal equipped with a yellow disc on which the letter "D" is shown in black, the Engineer must verbally communicate the name of the aspect to the Conductor or another qualified crew member designated by the Conductor, as soon as the signal is clearly visible. In multiple track territory, the Engineer must include the track number.

The Conductor or designated crewmember must repeat the signal information to the Engineer. If the Conductor or designated crewmember fails to repeat the required information, the Engineer must ascertain the reason at the next scheduled stop. If the Engineer fails to control the movement of the train in accordance with the indication of the aspect displayed on the distant signal or other restrictions requiring the speed of the train to be reduced, the Conductor or designated crew member must at once communicate with and remind the Engineer of the restriction and, if necessary, take appropriate action, including stopping the movement, to ensure safety.

When the Engineer observes the home signal displaying an aspect more favorable than Stop-and-proceed (Rule 291), the Engineer must communicate that information to the Conductor or designated crewmember. The Conductor or designated crewmember must repeat the signal information to the Engineer.

33c. CALLING SIGNALS ON MU OR PUSH PULL TRAINS

The following requirements apply to MU or push pull trains operated from the cab car when:

- A. A portion of track where the maximum speed of the train exceeds 30 mph

AND

- B. The ASC is not functioning for the direction of the movement or in non-ASC territory.

Then the following provisions will be adhered to:

1. When a fixed signal displays an aspect of Approach or any aspect less favorable than Approach, the Engineer must verbally communicate the name of the aspect to the Conductor or another qualified member of the crew designated by the Conductor, as soon as the signal is clearly visible. In multiple track territory, the Engineer must include the track number.
 2. The Conductor or designated crewmember must repeat the signal information to the Engineer. If the Conductor or designated crewmember fails to repeat the required information, the Engineer must ascertain the reason at the next scheduled stop.
 3. If the Engineer fails to control the movement of the train in accordance with the indication of the aspect, the Conductor or designated crew member must at once communicate with and remind the Engineer of the restriction and if necessary take appropriate action, including stopping the movement to insure safety.
 4. The next signal, when more favorable, must also be communicated by the Engineer.
- 34.** If the Engineer or another crew member fails to control the speed of the train in accordance with the signal indication or any other condition requiring the speed to be reduced, other crew members must take appropriate action, including stopping the train, to insure safety. When appropriate action is required, the safe movement of the train is the first importance.
- 35.** The following signals will be used by employees performing flagging duties:
Day signals – A red flag and fuseses.
Night signals – A white light and fuseses.

A red flag and fusees must be placed on MU trains, diesel engines and other on track equipment.

Conductors, Engineers and Assistant Conductors are responsible for knowing they are equipped with the necessary train signal appliances before leaving a terminal and enroute.

A minimum of five (5) fusees must be carried as part of flagging equipment in all services.

Additional fusees must be carried when necessitated by weather or other conditions. In the event the supply becomes depleted enroute, advance notice must be given so that it can be replenished at convenient points.

38. Where permanent speed restriction signs are in service, they will be located at the proper braking distance from the points of restriction to permit the required reduction in speed to be made.

38a. Unless otherwise provided, temporary speed signs will be placed to the right of the track to which they apply.

The speed indicated on yellow Temporary Advance Speed-limit sign will govern the approach to the point where the temporary speed restriction has been placed. The Temporary Advance Speed-limit sign will be located at the proper braking distance from the point of restriction to permit the required reduction in speed to be made.

A yellow Speed-limit sign will indicate the point where the speed restriction begins.

A green Resume speed sign will indicate the end of the restricted territory. Trains must not resume Maximum Authorized speed until the rear of the train has passed the resume speed sign.

Yellow flags and lights and *green flags and lights* may be used in lieu of Advance speed limit signs and Resume speed signs when such speed signs are not available.

38b. Temporary speed signs will be placed in service by general notice, speed restriction notice or Form L. When a speed restriction has been placed on a track and temporary speed signs cannot be immediately installed, the general notice, speed restriction notice or Form L making the speed restriction effective will so state.

Under such circumstances, trains will approach the portion of track upon which the speed restriction applies not exceeding the specified speed. They must not resume Maximum Authorized Speed until the rear of the train has passed the restricted area.

SUPERIORITY OF TRAINS

71. On single track where Rule 251 is in effect: a train is superior to another train by right or direction. Right is conferred by Form L and is superior to direction. Eastward regular trains are superior by direction to westward regular trains unless otherwise specified.
73. Extra trains are inferior to regular trains.

GENERAL ORDERS

75. General Orders, General Notices, and Speed Restriction Notices will be issued by the authority and over the signature of the General Superintendent-Transportation. General Orders and General Notices must be numbered consecutively, the number being prefixed by the number of the current timetable. Each general order will contain a subheading indicating which general order zone(s) the order applies.
The general order zone(s) in which employees are qualified must be shown in the place provided for in their timetables.
Speed Restriction Notices are numbered consecutively, the number being prefixed by the last two digits of the current year.
- 75a. New rules, annulments and changes in rules will be made effective by General Orders or General Notices. Employees must insert revisions in their copy of the Rules of the Operating Department.
- 75b. When reporting for duty, employees must examine the bulletin board. They must familiarize themselves and comply with all effective General Orders, General Notices, Speed Restriction Notices, and any other instructions pertaining to any portion of the general order zones in which they are to operate.
An employee reporting for duty at a location where effective General Orders, General Notices, or Speed Restriction Notice are not posted must contact the block operator who must contact the train dispatcher for instructions. The train dispatcher must inform the employee by Form L of all information contained in the General Order, General Notices or Speed Restriction Notice which are effective, but not in the employee's possession, which affect the movement of their train. Employees must receive a copy of the effective General Order, General Notice, or Speed Restriction Notice at the first convenient point.

QUALIFICATIONS OF CONDUCTORS, ENGINEERS AND TRACK CAR DRIVERS

- 75c.** Employees not having made a trip in service, or a special trip, to maintain qualifications on the physical characteristics over any portion of the railroad, within a 36-month period, will be required to requalify on the physical characteristics of that portion of the railroad before again making a trip in service. A trip in service as a train crew member will fulfill the requirements of this rule. Prior to making a special trip, Authorization-Qualification Forms must be obtained from the Office of the General Superintendent – Transportation.

OBSERVATION OF TRAINS FOR DEFECTS

- 76.** Crew members, when possible, must observe engines and cars in their trains, moving or standing, to detect conditions that might interfere with the safe movement of trains. Conductors and engineers must know that equipment is in a safe condition to move to its destination.
- When a car or engine is found to be in a condition that might interfere with the safe movement of their train, the Conductor or engineer must immediately notify the Movement Bureau.
- 76a.** When crews rerail cars or engines, they must inspect them for bent axles or other defects. If a defect is found, that piece of equipment must be set out and the Movement Bureau notified.
- Sticking brakes may cause wheels to become overheated. When the sticking brakes have been released or the truck cut-out, the wheels must be inspected.
- If any cracks are found on the flange, tread, plate or hub, the car must be set out.
- Defective parts should be loaded on the equipment from which they were removed, if possible. If not, they must be placed a safe distance from the track.
- The Movement Bureau must be informed whenever a car is set out or a defective part disposed of.

MOVEMENT OF TRAINS

- 81.** When a train is required to move at Restricted Speed, the movement must be controlled at a speed not exceeding 15 mile per hour and in a mode of operation prepared to stop within one-half the range of vision short of:
- Any signal requiring a stop;
 - Another train;
 - Any obstruction;
 - Derail set in the derailing position;
 - Switch improperly lined;
 - Broken rail or highway warning device malfunctioning
 - Other on track equipment

The limitation of speed applies to the entire movement.

- 81a.** Employees must not unnecessarily delay trains. When a train is delayed, the conductor, engineer or other crewmember designated by the conductor must determine the cause as soon as the safety of their train will permit. Employees must promptly advise the Movement Bureau of any known condition that will delay a train or prevent it from operating at maximum authorized speed.
- 82.** Timetable schedules, unless fulfilled, are in effect for twelve hours after their time at each station.
Regular trains more than twelve hours behind either their scheduled arriving or leaving time at any station lose both right and schedule. Thereafter, they can proceed only as provided by Rule 97.
- 83.** On single track where Rule 251 is in effect, a train must not leave its initial station or a terminal or enter single track, until it has ascertained that all opposing regular trains due that are superior have arrived or left. This information may be furnished on Clearance Card Form A.
- 87.** On single track where Rule 251 is in effect, inferior trains must clear the time and block of opposing regular trains by not less than five minutes unless otherwise provided by Form L.
When an inferior train is unable to clear the main track, a crewmember must protect the head end as provided by Rule 99.
NOTE: When assisting a train by Form L Line 1B authority, the assisting train may run on the scheduled time of the disabled train on any portion of track in which the assisting train will run.

AUTOMATIC SPEED CONTROL SYSTEM

NOTE: Rules 400 to 412 inclusive will be placed in effect by timetable special instruction.

- 400.** On tracks designated in the timetable special instructions, speed controlled trains will operate with the speed control apparatus sealed in the operative position. When operated on these tracks, they will be governed by the automatic speed control system, cab signal indicator, block or interlocking signals or by a combination thereof and by all instructions that are applicable. The ASC seal must not be broken or the speed control made inoperative except as provided for in Rules 405, 409 and 410 or when authorized by the General Superintendent – Transportation. Rule 409 will be in effect within interlocking limits, except as affected by Rule 410.
- 401.** The Automatic Speed Control and Cab signal apparatus on the controlling locomotive must be tested on departure of the locomotive from its initial terminal, unless the locomotive was previously tested and has a valid certification form. If the automatic speed control apparatus is cut out between the initial terminal and the equipped territory, the test shall be made prior to entering equipped territory. Initial speed control departure tests are required to be certified in writing and signed by the employee performing the departure test. Engineers performing the initial speed control departure test must certify the test results on Form ASCDT-1. The original copy of the form must be posted in the cab of the locomotive by the Engineer. The certification form is valid for a maximum of 24 hours. However, unless otherwise instructed, Engineers will be required to perform a speed control departure test, with appropriate re-certification, at the first available speed control test location after more than 24 hours has elapsed since the previous test was performed. On all initial speed control departure tests which are certified, the Engineer must notify the Block Operator, or the employee designated in the special instructions, by radio, of the results of the test. The Block Operator or employee designated in the special instructions must then record the results of the test in the designated ASC Departure Test Log. If the Engineer is unable to contact the Block Operator or other designated employee, the MVB must be notified of the test results. If the radio becomes inoperative, the Engineer or Conductor must make the notification at the first available point of communication.

If the Engineer is certifying the results of a running speed control test, the Block Operator must be notified immediately by radio of the test results. Form ASCDT-1 must then be completed at the next station stop.

It is the responsibility of the Engineer and Conductor to know that the ASC has been properly tested and certified prior to the departure of any train from its initial terminal. Where necessary, a designated train crewmember will assist the Engineer in obtaining an ASC test.

In the event the ASC apparatus does not test properly, the Block Operator and/or the Train Dispatcher must be notified immediately and the Engineer will be governed by the instructions received from the Train Dispatcher through the Block Operator.

In the event of an enroute ASC failure, the Engineer will, in addition to being governed by Rule 409 or 410, remove Form ASCDT-1 slip from the cab of the locomotive upon completion of the trip.

The location and type of ASC test equipment will be designated in the special instructions. The procedure for testing ASC equipment is located in the THEM.

- 401a.** If the Automatic Speed Control initial departure test fails or if the system is inoperative in either;
1. non-speed control territory; or
 2. In an interlocking with speed control where a train will be entering non speed control territory upon leaving the interlocking,

The train may proceed to the first interlocking in speed control territory or to its final destination in non-speed control territory. Trains must not proceed beyond the first interlocking in speed control territory unless the malfunction has been repaired or another engine or cab car with operative speed control is coupled at the head end of the consist for the direction of the movement to be made.

- 402.** The cab signal indication will not authorize operation of the train at a speed higher than that authorized by the indication of the fixed signal, which governed the movement of the train into the block. However, when conditions affecting the movement of the train within the block change after passing the fixed signal, the speed displayed on the cab signal indicator will govern.

When the cab signal indicator changes to a more restrictive indication, the speed must be reduced at once to the speed indicated.

When the cab signal indicator displays 15, a train must proceed at RESTRICTED SPEED until a more favorable cab signal indication

is received. Except, however, when 15 is displayed in conjunction with interlocking signals displaying an aspect of Slow-clear or Slow-approach, the train will proceed at Slow speed.

- 403.** If cab signal and fixed signal indications conflict, the more restrictive indication will govern.
- 404.** Cab signal indications do not supersede fixed signal indications except when the cab signal indicator changes to a more restrictive or more favorable indication after passing a fixed signal.
- 405.** The cab signal indicator will not indicate conditions ahead when an engine is:
 - (a)** Pushing cars, or,
 - (b)** A train is operating against the current of traffic.

When it becomes necessary for a train to operate against the current of traffic, the speed control apparatus must be cut out as indicated in the THEM.

When the train re-enters automatic speed control territory, the Engineer must ensure that the automatic speed control is functioning properly and, thereafter, will proceed as though no automatic speed control malfunction had occurred. If the Engineer determines that the automatic speed control system is not functioning properly the MVB must be notified immediately by radio and the movement of the train will be governed by Rule 409 or Rule 410 as applicable.

- 406.** When cab signal indications and fixed signal indications conflict or some other irregularity occurs, Engineers will be governed by Rules 403, 404, 409 and 410. They will, in addition, notify the MVB immediately via radio or as quickly as possible thereafter without causing delay to the train, giving the locations and track on which the conflict or irregularities occurred.
- 407.** When the cab signal indicator changes to a more favorable indication, the speed must not be increased until the train has run its length.
- 408.** The movement of a train not equipped with ASC apparatus is prohibited, except when authorized by the General Superintendent – Transportation. When authorized to operate in ASC territory, non-equipped trains will be governed by the provisions of Rules 409 or 410 as applicable.

- 409.** Where speed controlled trains are operated with fixed automatic block or interlocking signals (*except as affected by Rule 410*):
If the ASC apparatus on a train malfunctions, the speed control may be cut out and the train will proceed, governed by fixed signal indications, *not exceeding 40 MPH for diesel trains and 30 MPH for multiple unit or push-pull trains*. This condition must be reported to the Train Dispatcher through the Block Operator immediately by radio. If the radio is inoperative, this report will be made at the first point of communication, which will not cause delay to the train.

After the report is made and when authorized by the Train Dispatcher through the Block Operator, *MULTIPLE UNIT TRAINS ONLY WITH THE CAB SIGNAL INDICATOR AND WARNING DEVICE OPERATIVE* may proceed in accordance with the indications on the cab signal indicator and fixed signals, not exceeding 60 MPH.

- 410.** Where speed controlled trains are operated without fixed automatic block signals:

- (a)** The Block Operator must not display an aspect of Absolute-Clear, Absolute-Medium-Clear, Absolute-Slow-Clear or Flashing Slow-Approach for a train operating with a malfunction of the ASC apparatus, unless an absolute block has been established between interlockings and when authorized to do so by the Train Dispatcher.

The Block Operator must not permit a train, which has any part of its ASC apparatus inoperative to enter a portion of track between interlockings unless an absolute block has been established and when authorized to do so by the Train Dispatcher.

- (b)** The movement of a train on which any part of the ASC apparatus has malfunctioned will be made at RESTRICTED SPEED. The malfunction must be reported to the Train Dispatcher through the Block Operator either immediately by radio or at the first point of communication and the train will be governed by his instructions.

After an absolute block has been established between the train on which the ASC apparatus has malfunctioned and the next interlocking, the Block Operator, when authorized by the Train Dispatcher, will verbally instruct the train to cut out the ASC.

After receiving these instructions and after cutting out the ASC, the train may proceed, not exceeding 40 MPH, approaching the next interlocking signal prepared to stop. Thereafter, the train must not pass a fixed signal leaving an

interlocking which displays any aspect other than Absolute-Clear, Absolute-Medium-Clear, Absolute-Slow-Clear or Flashing Slow-Approach, unless authorized by Rule 241 or Form L.

- (c) Trains with CAB SIGNAL INDICATOR OR WARNING DEVICE THAT HAS MALFUNCTIONED, upon receiving an aspect of Absolute-Clear, Absolute-Medium-Clear, Absolute-Slow-Clear or Flashing Slow-Approach, will proceed in accordance with the signal indication, not exceeding 40 MPH, approaching the next interlocking signal prepared to stop.
- (d) MULTIPLE UNIT TRAINS WITH CAB SIGNAL INDICATOR AND WARNING DEVICE OPERATIVE upon receiving an aspect of Absolute-Clear, Absolute-Medium-Clear, Absolute-Slow-Clear or Flashing Slow-Approach, will proceed in accordance with the signal indication. Thereafter, the train will be governed by the cab signal indicator not exceeding 60 MPH.
- (e) Should a malfunction of the ASC apparatus make it impossible to release the brakes on a train, the ASC will be cut out and the brakes released. The train will then proceed at RESTRICTED SPEED. A report must be made to the Train Dispatcher through the Block Operator immediately by radio. If the radio is inoperative, this report will be made at the first point of communication. The train will then be governed by the preceding paragraphs.

411. When it is known that the ASC apparatus of a train has malfunctioned, the apparatus shall be considered in non-operative condition until repaired.

412. The following irregularities of the ASC apparatus must be considered as a malfunction and the trains affected will be governed by the provisions of Rule 409 or 410, whichever is applicable:

- (a) In Rule 409 territory, a conflict of the cab signal indicator and two fixed signals in succession.
- (b) Failure of the ASC warning device to sound when the cab signal indicator changes to a more restrictive indication.
- (c) Continuous flipping of the cab signal indicator.
- (d) Inoperative speedometer on the following diesel locomotives E-10, E-15 or E-20.
- (e) Failure of the acknowledging device to operate.
- (f) Inoperative ATC light on the console of the cab and inoperative blue light on the exterior of the car on multiple unit equipment, a cab car unit or DE/DM engine.

- (g)** Dark cab signal indicator. Dark cab signal indicator refers only to small speed indicating lights around the speedometer dial. A failure of the lamp illuminating the speedometer does not constitute a failure.
- (h)** Seal broken, except as provided by Rules 400 or 405.
- (i)** Brake application, which will not release until the ASC is cut out.
- (j)** In Rule 410 territory, a cab signal indicator which remains at 15 for an excessive length of time.
- (k)** Failure of the penalty feature.
- (l)** Failure of the ASC to cut in when entering speed control territory.

DUTIES AND RESPONSIBILITIES

TRAIN SERVICE EMPLOYEES

801. Conductors and train crew members report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department supervisors and Train Dispatchers. They must also obey the instructions of Stationmasters, Yardmasters and Block Operators within their respective jurisdictions, and from officers of other departments on matters pertaining to those departments. They must carry their current conductor certificate while on duty and display the certificate upon request to a representative of the FRA, state inspector, LIRR supervisor or an officer of another railroad when serving as a conductor in joint operations. An employee who does not have their certification card in their possession while on duty must notify the Movement Bureau immediately.

Conductors have general charge of the trains to which they are assigned and all persons employed aboard are subject to their instructions. They and the Engineer are responsible for the prompt movement, safety and care of their trains and for the observance and enforcement of all rules and instructions. Conductors are responsible for the vigilance, conduct and performance of duty of the members of their crew.

Conductors must exert every effort to start and move trains on time. They must notify the Movement Bureau of any conditions that will interfere with the prompt and safe movement of their train.

Conductors must, when necessary, instruct crew members about the proper performance of their duties and report all equipment defects to the Movement Bureau or M of E Central Control as specified in the timetable special instructions. They must report the absence of any crew members who fail to report for duty at the proper time to the Movement Bureau.

Freight conductors must not permit any person except employees in the discharge of their duties to board or ride on cars or trains without proper authority.

Conductors and train crew members are responsible for the display of train signals, the proper protection of trains, handling switches, coupling and uncoupling cars and engines and the manipulation of hand brakes.

Train crew members must assist the Conductor or Engineer in all things essential to the prompt and safe movement of their trains. They are responsible for reporting all defects to the Conductor.

801a. Platform Conductors will be governed by all applicable duties and responsibilities of Rule 801. They must obtain the proper equipment (when available) from Transportation Supervision or a designated representative, which includes a platform Conductor vest and hand held radio.

Platform Conductors will be positioned in areas at stations upon arrival of trains to assist customers boarding or exiting. They will remain visible to train crews and customers and seek out those in need of assistance. They will traverse platforms frequently to observe conditions for any operational or safety related issues. When necessary, they must utilize the hand held radio (if available) to talk to train crews, Transportation Supervision or the Movement Bureau.

ENGINE SERVICE EMPLOYEES

802. Engineers report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department Supervisors and Train Dispatchers. They must also obey instructions from Stationmasters, Yardmasters and Block Operators within their respective jurisdictions and from the Conductor in charge.

They must comply with instructions from officers of other departments on matters pertaining to those departments. Within engine house territory, they will comply with instructions of the Engine House Foreman or his representative. They must render assistance to Conductors who have general charge of the trains to which they are assigned, in all things essential to the prompt movement, safety and care of their respective trains. They must carry their current locomotive engineer certificate while on duty and display the certificate upon request to a representative of the FRA, state inspector, LIRR supervisor or an officer of another railroad when serving as a conductor in joint operations. An employee who does not have their certification card in their possession while on duty must notify the Movement Bureau immediately.

Engineers must limit their conversation with others to matters pertaining to the operation of their train. When leaving the engine at any time, they must ensure that the engine is properly secured. Engineers are responsible for the observance of and compliance with the indications of all signals affecting the movement of their train. When the train is moving they must be vigilant and use care to prevent avoidable injuries to persons, collisions, derailments and damage to property.

They must report all equipment defects to either the Movement Bureau or M of E Central Control as specified in the timetable

special instructions. At the completion of each trip, they must prepare and sign a work report on the prescribed form.

Engineers shall, when required, instruct and supervise Engineer Trainees in the operation of a train and shall permit Engineer Trainees to handle the engine. When instructing and supervising a trainee in train handling, the Engineer shall retain responsibility. The Engineer shall complete a written evaluation of each trainee assigned to handle an engine under the Engineer's supervision and instructions when required to do so.

When acting as a Pilot, they will operate the engine of the train to which assigned, unless otherwise provided.

ENGINEER TRAINEES

- 803.** Engineer trainees report to the General Superintendent – Transportation. They must obey the instructions of Transportation Department supervisors, Train Dispatchers and instructors within the Training Department. They must also obey instructions from their Engineer and Conductor and others with proper authority and officers of other departments on matters pertaining to those departments. They must carry their current student engineer certificate while on duty. An employee who does not have their certification card in their possession while on duty must notify the Movement Bureau immediately.

When assigned, they are responsible for assisting the Engineer and Conductor in all things essential to the safe and prompt movement of their train.

They are responsible for reporting all engine or equipment defects to the Engineer.

They must take charge of the engine in the absence of the Engineer, must not leave it until he returns and must not permit unauthorized persons to board it. They must not move the engine unless emergency conditions exist and are instructed to do so by the Conductor or others with the proper authority.

If the Engineer becomes incapacitated, they must stop the train and report to the Conductor.

While the train is moving, they must keep a constant lookout when not engaged in other duties and immediately notify the Engineer of any signals or other conditions affecting the movement of the train.